

Electronic Acknowledgement Receipt

EFS ID:	7029176
Application Number:	10655409
International Application Number:	
Confirmation Number:	6575
Title of Invention:	Computer-implemented securities trading system with a virtual specialist function
First Named Inventor/Applicant Name:	Timothy M. Keiser
Customer Number:	63710
Filer:	Glen Farbanish/LAURA ALTO
Filer Authorized By:	Glen Farbanish
Attorney Docket Number:	98-HSX001-C5
Receipt Date:	17-FEB-2010
Filing Date:	04-SEP-2003
Time Stamp:	15:31:58
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$180
RAM confirmation Number	2102
Deposit Account	503938
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	98-HSX001-C5_100217_IDS.pdf	43794 3c8f255aee1db8aa2f7fcb2c2554d5c7f c1ec;	no	5
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Filed (SB/08)	98-HSX001-C5_100217_1449.pdf	25962 19833b4d290ba7c5b79ba58997c365428 81049	no	1
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
3	NPL Documents	11-279997_OA_11-10-2009.pdf	878289 08fcd08c5c0e5570b6c0f1e1bb1a3c0a8fb b04c;	no	25
Warnings:					
Information:					
4	NPL Documents	IPER_PCT- US2006-028805_01-29-2008. pdf	166753 398260112485e91f71e6c0bb7612ad715 a6d79	no	4
Warnings:					
Information:					
5	Fee Worksheet (PTO-875)	fee-info.pdf	30495 71e05064ee5cb0dfe7467aaefee0321209 3c3;	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			1145293		

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.